

JC921 U.S. PTO  
02/21/0222-02  
A  
PTO/SB/05 (11-00)Please type a plus sign (+) inside this box → Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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10/08/08  
02/21/02  
PTO  
1140 U.S. PTO10/08/08  
02/21/02  
PTOUTILITY  
PATENT APPLICATION  
TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. NREL 01-01 CIP

First Inventor Joseph S. Shabtai

Title Process for Converting Lignins into a High Octane Blending Components

Express Mail Label No. EJ 200220157 US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1.  Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2.  Applicant claims small entity status.  
See 37 CFR 1.27.
3.  Specification [Total Pages 33]
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if Red)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4.  Drawing(s) (35 U.S. C. 1.13) [ Total Sheets ]
5. Oath or Declaration [ Total Pages ]
  - a.  Newly executed (original or copy)
  - b.  Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box I 8 completed)
6.  DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7.  CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a.  Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    1.  CD-ROM or CD-R (2 copies); or
    2.  paper
  - c.  Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9.  Assignment Papers (cover sheet & document(s))
10.  37 CFR 3.73(b) Statement  Power of (when there is an assignee)  Attorney
11.  English Translation Document (if applicable)
12.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS
13.  Preliminary Amendment
14.  Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15.  Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16.  Request and Certification under 35 U.S.C. 122 (b)(2)(13)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17.  Other: \_\_\_\_\_

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76.

 Continuation  Divisional  Continuation-in-part (CIP)

of prior application No. 09 / 972,461

Prior application information:

Examiner \_\_\_\_\_

Group Art Unit. \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19 CORRESPONDENCE ADDRESS

<input checked="" type="checkbox"/> Customer Number or Bar Code Label (Insert Customer No. or Attach bar code label here)	or <input type="checkbox"/> Correspondence address below			
Name	Paul J. White			
Address	National Renewable Energy Laboratory			
	16 17 Cole Blvd.			
City	Golden	State	CO	Zip Code
Country	USA	Telephone	303/384-7575	Fax
Name (Print/Type)	Paul J. White	Registration No. (Attorney/Agent)	30,436	
Signature	Paul J. White	Date	02/21/02	

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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**FEE TRANSMITTAL**Patent fees are subject to annual revision on October 1.  
These are the fees effective October 1, 1997.Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12  
See 37 C.F.R. §§ 1.27 and 1.28.**TOTAL AMOUNT OF PAYMENT** (\$ 766.00)**Complete if Known**

Application Number	Not Yet Accorded
Filing Date	Not Yet Accorded
First Named Inventor	Joseph S. Shabtai
Examiner Name	Not Yet Accorded
Group / Art Unit	Not Yet Accorded
Attorney Docket No.	NREL 01-01 CIP

**METHOD OF PAYMENT (check one)**1.  The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number 14-0460

Deposit Account Name National Renewable Energy Lab.

 Charge Any Additional Fee Required Under 37 C.F.R. §§ 1.16 and 1.172.  Payment Enclosed:  
 Check  Money Order  Other**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee	Fee	Fee	Fee Description	Fee Paid
101	790	201	395	Utility filing fee	370.00	
106	330	206	165	Design filing fee		
107	540	207	270	Plant filing fee		
108	790	208	395	Reissue filing fee		
114	150	214	75	Provisional filing fee		
<b>SUBTOTAL(1) (\$)</b>						370.00

**2. EXTRA CLAIM FEES**

Total Claims	-20**--	30	X	\$ 9	Fee Paid
Independent Claims	6	-3***--	3	X \$42	126.00
Multiple Dependent					

\*or number previously paid, if greater; For Reissues, see below

**Large Entity Small Entity**

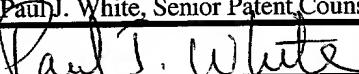
Fee Code (\$)	Fee Code (\$)	Fee	Fee Description
103	22	203	11 Claims in excess of 20
102	82	202	41 Independent claims in excess of 3
104	270	204	135 Multiple dependent claim, if not paid
109	82	209	41** Reissue independent claims over original patent
110	22	210	11** Reissue claims in excess of 20 and over original patent
<b>SUBTOTAL (2) (\$)</b>			

**3. ADDITIONAL FEES**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee	Fee	Fee	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath		
127	50	227	25	Surcharge - late provisional filing fee or cover sheet		
139	130	139	130	Non-English specification		
147	2,520	147	2,520	For filing a request for reexamination		
112	920*	112	920*	Requesting publication of SIR prior to Examiner action		
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action		
115	110	115	55	Extension for reply within first month		
116	400	216	200	Extension for reply within second month		
117	950	217	475	Extension for reply within third month		
118	1,510	218	755	Extension for reply within fourth month		
128	2,060	228	1,030	Extension for reply within fifth month		
119	310	219	155	Notice of Appeal		
120	310	220	155	Filing a brief in support of an appeal		
121	270	221	135	Request for oral hearing		
138	1,510	138	1,510	Petition to institute a public use proceeding		
140	110	240	55	Petition to reive - unavoidable		
141	1,320	241	660	Petition to reive - unintentional		
142	1,320	242	660	Utility issue fee (or reissue)		
143	450	243	225	Design issue fee		
144	670	244	335	Plant issue fee		
122	130	122	130	Petitions to the Commissioner		
123	50	123	50	Petitions related to provisional applications		
126	240	126	240	Submission of Information Disclosure Stmt		
581	40	581	40	Recording each patent assignment per property (times number of properties)		
146	790	246	395	Filing a submission after final rejection (37 CFR 1.129(a))		
149	790	249	395	For each additional invention to be examined (37 CFR 1.129(b))		
Other fee (specify) _____						
Other fee (specify) _____						

\*Reduced by Basic Filing Fee Paid **SUBTOTAL (3) (\$)****SUBMITTED BY**

Complete (if applicable)

Typed or Printed Name	Paul J. White, Senior Patent Counsel	Reg. Number	30,436
Signature		Date	02/21/02

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